

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

ATTORNEY'S DOCKET NUMBER  
AVAN/000315US

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)  
To Be Assigned **10/527621**

INTERNATIONAL APPLICATION NO.  
PCT/1B2003/004425

INTERNATIONAL FILING DATE  
10 September 2003 (10-09-2003)

PRIORITY DATE CLAIMED  
12 September 2002 (12-09-2002)

TITLE OF INVENTION  
MONOLITHIC OPTICAL COMPONENT

APPLICANT(S) FOR DO/EO/US  
Stephane Demiguel, Louis Giraudet, and Mohand Achouche

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:


1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as files (35 U.S.C. 371 (c) (2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ A English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). (Unsigned)
10. ☐ A English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11 to 20 below concern document(s) or information included:**

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer readable form of the sequence listing in accordance with PCT rule 13ter.2 and 35 U.S.C. 1.821 – 1.825.
18. ☒ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information: PTO Form 1449, Cited References, Fee Transmittal, and Return Postcard

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

|   |              |   |   |   |                 |
|---|--------------|---|---|---|-----------------|
| U.S. APPLICATION NO. (if known, see 37 CFR 1.51)<br>To Be Assigned <b>107527621</b>   |              | INTERNATIONAL APPLICATION NO.<br>PCT/1B2003/004425                            |   | ATTORNEY'S DOCKET NUMBER<br>AVAN/000315US |                 |
| 21. The following fees are submitted:   |              |   |   | Applicant Use                             | Office use only |
| <input checked="" type="checkbox"/> a) Basic national fee .....   |              | \$300.00  |   | \$ 300.00                                 |                 |
| <input checked="" type="checkbox"/> b) Examination fee .....  |              | \$200.00  |   | \$ 200.00                                 |                 |
| <input checked="" type="checkbox"/> c) Search fee .....   |              | \$500.00  |   | \$ 500.00                                 |                 |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>  |              | <b>\$1000.00</b>  |   | <b>\$ 1000.00</b>                         |                 |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.  |              |   |   |   |                 |
| Total Sheets  | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE  |   |                 |
| 9 - 100 =   | /50 =        |   | X 250.00  | \$ 0.00                                   |                 |
| Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).  |              |   |   | \$  |                 |
| CLAIMS  | NUMBER FILED | NUMBER EXTRA  | RATE  | \$  |                 |
| Total claims  | 6 - 20 =     |   | x \$50.00   | \$ 0.00                                   |                 |
| Independent claims  | 1 - 3 =      |   | x \$200.00  | \$ 0.00                                   |                 |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable)   |              |   | + \$360.00  | \$  |                 |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>  |              |   |   | <b>\$ 0.00</b>                            |                 |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2   |              |   |   | \$  |                 |
| <b>SUBTOTAL =</b>   |              |   |   | <b>\$</b>                                 |                 |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).   |              |   |   | \$  |                 |
| <b>TOTAL NATIONAL FEE =</b>   |              |   |   | <b>\$</b>                                 |                 |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property  |              |   |   | \$  |                 |
| <b>TOTAL FEES INCLOSED =</b>  |              |   |   | <b>\$</b>                                 |                 |
| Amount to be refunded:  |              |   |   | \$  |                 |
| Amount to be charged:   |              |   |   | \$ 1,000.00                               |                 |
| <p>a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed.</p> <p>b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>20-0782/AVAN/000315US</u> in the amount of \$ <u>1,000.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>20-0782/AVAN/000315US</u>. A duplicate copy of this sheet is enclosed.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. <b>Credit card information should not be included on this form.</b> Provide credit card information and authorization on PTO-2038.</p> |              |   |   |   |                 |
| <p><b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.</p>   |              |   |   |   |                 |
| SEND ALL CORRESPONDENCE TO:   |              |   | <br>SIGNATURE |   |                 |
| John Carey<br>Moser, Patterson & Sheridan, L.L.P.<br>3040 Post Oak Blvd., Suite 1500<br>Houston, Texas 77056  |              |   | <u>Walter C. Grollitsch</u><br>NAME   |   |                 |
|   |              |   | <u>48,678</u><br>REGISTRATION NUMBER  |   |                 |